

Application for Funding Projects



About this form

This form enables you to make an application for funding over \$100,000 from the Provincial Growth Fund for applications relating to the delivery of projects.

You will need to use the Express Form if your application is for an activity under \$100,000 or the Development Phase Form if your application is within the Development phase of a Project (i.e. feasibility / business case).

These forms are available on the [Provincial Growth Fund website](#)

Purpose of the Provincial Growth Fund

The Provincial Growth Fund aims to lift productivity potential in the provinces. Its priorities are to enhance economic development opportunities, create sustainable jobs, enable Māori to reach their full potential, boost social inclusion and participation, build resilient communities, and help meet New Zealand's climate change targets.

Completing this form

Please complete all sections fully and accurately. Square brackets and italics indicate guides.

Please see the PGF website, or contact your regional relationship manager, for further support.

Submitting your application

All completed forms must be emailed to PGF@mbie.govt.nz with a clear subject included.

If you are a Trust (or applying on behalf of a Trust), then you must provide a copy of your Trust Deed.

Next Steps

Applications will be assessed for eligibility, as well as how well they will deliver on the aims of the Provincial Growth Fund. One of our team will be in contact regarding your application.

Funding Agreement

The template funding agreements can be found on the [Provincial Growth Fund website](#)

Public disclosure

The Provincial Development Unit is responsible for leading the Provincial Growth Fund's design, administration and monitoring its operation in consultation with other government agencies. In the interests of public transparency, successful applications may be published by the Provincial Development Unit. Commercially sensitive and personal information will be redacted by reference to the provisions of the Official Information Act 1982. Please identify by highlighting any information in your application that you regard as commercially sensitive or as personal information for the purposes of the Privacy Act 1993.

Part A: Key Details

Please note that if the funding agreement will not be held with the applicant (i.e. applying on behalf of another organisation), then we require the details of that organisation.

1. Proposal Title: Kaipara District Council – Kaipara Kickstart (Growing the Kai in Kaipara)

2. Please provide a very brief description of the project/activity:

This project aims to develop the fertile whenua and moana in the Kaipara to introduce farming activities higher up the value chain, developing capability in local farmers and investigating high-value go-to-market approaches.

It is one of three projects in a combined “Kaipara Kickstart” package, the other two projects focus on Wharves and Roads.

3. Please provide the details of the applicant organisation/entity for which funding is being requested:

Legal Name:	Kaipara District Council
Entity Type:	Local Authority
Registered Offices / Place of Business:	42 Hokianga Road, Dargaville 0310
Identifying Number:	
Organisation’s Website:	www.kaipara.govt.nz

4. Please provide the contact details for a person as a key point of contact):

Contact Name and Role:	Jason Marris – GM		
Email Address:	Privacy of natural persons	Telephone:	Privacy of natural persons

5. Please describe the principal role or activity of the applicant organisation.

The Kaipara District Council (the “KDC”) delivers all of the normal services of a District Council.

KDC’s role is to lead and represent their community, while considering the needs of people currently living in the District and those who will live there in the future. Core to KDC’s local governance role is providing a sustainable future for its ratepayers by maximising the opportunities available in the region.

With a rating base of only 22,000 people, annual revenue cannot overcome the infrastructural deficit that the region has inherited. This PGF package is the first of a series of packages envisaged. It focuses on three areas that need addressing before anything else can happen: roads, kai and wharves.

Kaipara has historically been underfunded due to its low ratepayer base, however, with the assistance of the PGF there is a significant opportunity to unlock potential of the Kaipara harbour, through a number of above identified initiatives.

Three interconnected projects form the basis of a package collectively referred to as “Kaipara Kickstart”. The remainder of this application focuses on the first project: **Kai**.

The Kaipara Kickstart Programme

— **Kai: Unlocking the potential of fertile land assets in the Kaipara through a feasibility study (building on the basis of a 2003 study already performed) and programme of work to begin the transformation of idle land, to productive land. In addition, a local Kai Transformation Hub will be opened to immediately begin assisting local farmers to investigate and introduce higher-value crops.**

— Wharves: Making the harbour accessible to tourism and the horticulture industry, and providing a lasting connection to Auckland, to provide a sustainable future for the Kaipara. Phase one initiatives include:

- (1) Analysis, stakeholder engagement and undertaking a feasibility study to determine the next steps in development of significant wharf infrastructure across the Kaipara Harbour; and
 - (2) The development of infrastructure; building a wharf at Pouto Point to connect Waikaretu Marae and start the flow of tourism and the installation of a pontoon at Dargaville to allow better access (e.g. for Waka)
- Roads: Remediation and upgrade work to current roading infrastructure. The primary drivers of this are land access and road user (e.g. tourist) safety. (We understand the roading project may be subject to further discussion with the NZTA and the PGF to determine appropriate levels of funding from each).

6. This project will be based in the region of:

7. What type of funding is this application for:

[Note: the most appropriate funding type will be determined by the PDU in consultation with the applicant]

8. What is the activity / funding start and end date?

Start Date:	<small>Commercial Information</small>	Completion Date:	<small>Commercial Information</small>
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9. Has this project / activity been previously discussed with any part of Government? Yes: No:

- If Yes, please describe which part of government, and what the outcome of the discussions were.

[The PDU will consult with other parts of Government as part of the assessment]
[Insert your commentary here]

Initial discussion Paul Swallow – Investment Director, PDU.

Encouraged Kaipara package, to outline the separate pieces and explain how they were connected.

10. Have you previously received Government funding for this Project? Yes: No:

- If Yes, please list which part of the Government, when the funding was received, and how much under Q11.

11. Please set out the proposed sources of funding for the Project:

Source of Funding: <i>[please indicate where all other funding is sourced from, noting who the funder is]</i>	\$ (excluding GST)	Status / Commentary <i>[i.e. received / confirmed / in principle]</i>
Provincial Growth Fund Funding (through this application)		
Phase 1: Growing the Kai in Kaipara	\$980,000	This application, pending approval.
<i>[please specify all other sources of funding, including prior Govt. funding]</i> For phase one, no other funding has been considered.	<small>\$Commercial</small>	
Total:	\$980,000	Please note the accompanying applications for costs of Roads and Wharves

Part B: Project Description

12. This application is: “a stand-alone activity” or “in support of a wider project/programme”

13. Will additional funding be required in the future?

Commercial Information

If Yes, please describe at a high level, what this may include, and when this is likely to be applied for.

Commercial Information

[Redacted area containing commercial information]

14. Has a feasibility study, or equivalent, been conducted prior to this application? Yes: No:

- If Yes; please provide a copy, including an overview of the feasibility study and any outcomes.
- If No, please explain why not; and how feasibility/viability of the project has been assured.

A Government funded Topo-climate study has been undertaken on the whole Kaipara district in 2003 and is attached. The Topo-climate study interprets soils, maps the climate identifying cropping areas, and the best use of soils. The study was focused across western parts of Kaipara. **Commercial Information** have all contributed to the study. The study has shown there is potential for growing a range of crops, and provides further information about infrastructure and growing requirements.

Additional high-level comparative analysis has been conducted between the food growing regions in Pukekohe and Kaipara and this informed the benefits articulated in the A3 summary attached to these applications.

15. Please provide a detailed description of this project for which funding is being applied:

[Redacted area for project description]

The opportunity

The Kaipara has a plethora of untapped social, human and physical capital – a fantastic opportunity is available in its beaches, land, people, and culture. Unlocking these opportunities is essential to the Kaipara’s success and prosperity.

The primary drivers of these opportunities are horticulture, tourism, and land development.

There is an opportunity to develop the fertile land owned by people, Iwi and businesses in the Kaipara and to better utilise the natural resources of the area. Introducing activities higher up the value chain will enable the sustainable economic acceleration of the region. The Kaipara Kai project has potential to complement and support a growing demand for produce from the already stretched Pukekohe food hub. A 2003 Topo-climate study commissioned by government at the time, revealed incredible prospects for Kaipara horticulture industry, and this will serve as the basis to move forward from.

The opportunity will be driven by the “Kaipara Kai Transformation Hub”. The Kaipara Hub will initially employ one full time employee, and will operate from existing premises leased or owned by KDC (utilising unused or shared office space). The office will be the hub in Kaipara for industry experts and stakeholders providing a location for collaboration. Supporting development of horticulture opportunities and land owners transformation to high value crops. The office will be a base for organisations like Commercial Information () to define and understand the next steps in land development and support Kaipara’s transformation.

The Hub will be leveraging the existing Topo-climate study to begin assisting stakeholders early in identifying opportunities. The feasibility analysis which follows will identify areas of interest and direct its focus. The hub will also connect employers and employment opportunities in horticulture and land development in the Kaipara.

The project

Growing the Kai in Kaipara

Phase one of the project includes:

1. Open a Kaipara Kai Transformation Hub in partnership with key stakeholders to help locals navigate the process of transforming their land to higher-value crops.
2. Feasibility study and activation plan to:
 - a. Extend previous Ministry of Economic Development/Hon Jim Anderton-funded Topo-climate study to whole of Kaipara District – extending previous application and geographic area
 - b. Explore new crop types, new animals, aqua-culture opportunities and options to adapt to climate change
 - c. Conduct commercial and financial analysis (e.g. encourage private sector investment and facilitate food clusters of different foods)
 - d. Develop a guide to assist locals through the process of moving to higher-value activities and encourage inward investment into Kaipara.

Commercial Information

The outcomes

Employment and community

The Kaipara Kai project looks to develop a potential [Commercial Info] hectares of fertile land into a sustainable, high value, horticultural hub. This project has the potential to support lost production from the Pukekohe hub, currently [Commercial] hectares. Pukekohe provides [Commercial] jobs, and thus through the quantum of land in Kaipara the employment proposition is tenfold.

The largest and fastest growing employment industries in the Kaipara are agriculture, farming and vegetable growing. The existing local skill base for training will ensure skills can be developed to provide opportunities for high local employment in these industries.

Regional revenue/economic potential

The Kaipara Kai project has in excess of [Commercial Info] hectares ripe for potential development and with horticulture being one of New Zealand's fastest growing export sectors (making up more than [Commercial] % of merchandise exports) the revenue possibilities are significant.

In comparison, the Pukekohe hub currently produces approximately \$[Commercial] per annum of revenue with only [Commercial] ha. The Kaipara Kai project has the potential to double the horticulture industry's revenue. With each hectare supporting on average \$[Commercial] of revenue, even [Commercial] hectares has the potential to produce \$[Commercial] of revenue for Kaipara.

Environmental sustainability

Horticulture development is a proven sustainable use of natural assets, and KDC intends to leverage its potential in the area.

We note that this application is in support of (though not related, or intended to replace) an existing PGF application already being considered for Kaipara Iwi, which relates to riparian planting to address sediment damage in the Kaipara harbour. KDC will be seeking to work with environmental stakeholders to ensure the most sustainable development course is taken to provide benefit to all stakeholders.

Funding sought

Funding is sought from the PGF for phase one of the project. A phase two funding bid will be put forward once phase one feasibility studies are complete. Phase one includes funding for:

Analysis and stakeholder engagement

- Initial set up of Kaipara Kai Transformation Hub and stakeholder engagement for the Kaipara Kai project.

\$[Commercial Info]

Feasibility and activation plans

- Detailed design, build, recruitment, and activation plan for Kaipara Kai Transformation Hub.

\$[Commercial Inform]

- Detailed upgrade of old Topo-climate study to include expanded area and expanded range of crops, with partners including [Commercial Information] etc. and activation plan for Kaipara Kai Cluster projects.

\$[Commercial Inform]

16. How does this project demonstrate additionality within the region?

Project is not already underway, does not involve maintenance of core infrastructure or assets (except for transport resilience initiatives), and does not cover activities the applicant is already funded for (funding could be considered to increase the scale of existing projects or re-start stalled projects)

The Kaipara Kickstart programme is new – while the region has other complementary projects (including: Commercial Information [REDACTED]), this is unique as it encompasses three aspects of horticulture, roading and water access. This project also has the potential to provide a vital linkage between a number of projects across Northland currently underway.

KDC is not funded for any of the activities proposed in this PGF application. Due to the requirement for external investment KDC has not had the ability to undertake this work.

Demonstrated benefit of central Government investment or support

As outlined earlier, revenue and employment growth opportunity is substantial given the land potentially accessible for horticulture and tourism development. Increased employment opportunities through access will provide tangible economic benefit to local Iwi members as well as the wider Northland horticulture and tourism industry through a well-connected network of wharves and roads to transport people and goods. Currently there is very little transport or horticulture development in the areas being considered.

Detail of any supporting third party funding (and any funding sought unsuccessfully)

Landowners, growers and farmers will be required to make investments in their own farms as they move to higher-value crops. Additional funding from third parties may be sought for infrastructure such as post-harvest packaging and processing but this will be explored through the feasibility study.

Acts as a catalyst to unlock a region's productivity potential

As outlined earlier, substantial land is available for development and KDC, through its strategic relationships and the implementation of a Kaipara Kai Transformation Hub, intends to be the gateway for facilitating the development of those land assets. There is incredible potential to be released through horticulture activities from those land assets.

Demonstrated links to other tiers of the Fund and related projects, to maximise value of Government investment

As noted earlier, this application is for stage one of the project and is one project in a package of applications, collectively referred to as the Kaipara Kickstart. The intention of stage one is to establish a Hub, upgrade/implement essential infrastructure, and provide feasibility studies from which informed decisions can be made for further investment in the Kaipara. A secondary bid for funding will follow the feasibility analysis.

17. How is the project connected to regional (and sector) stakeholders and frameworks?

- As part of the initial analysis, KDC will be actively involved in engaging with stakeholders to determine the best outcomes for the project;
- KDC has existing positive relationships with Iwi groups in the Kaipara and intends to leverage those relationships to make required changes to infrastructure for the projects;
- Existing projects in the Kaipara have an opportunity to link in to the greater Kaipara Kickstart vision – KDC will be actively involved in ensuring that these projects are wrapped into the wider revitalisation to provide efficiency and a common project direction.

We note that a letter from Commercial Information provides official support for this project, as well as the supporting Wharves project.

Continued dialogue will be had with all appropriate stakeholder groups and individuals throughout phase one and two of the project.

There is support for the project amongst the Northland Chief Executive group.

PROACTIVELY RELEASED

18. How will your project lift productivity potential in the regions?

[We want to understand how your project will meet the primary objective of the fund: “to lift productivity potential in the regions”. Please provide a description of this and where relevant, please cover how your project contributes to the following outcomes:

PGF Outcome	✓	How will the project positively or negatively impact this outcome in the region(s) identified?
1. Increase economic output	✓	<i>Please refer question 15. Potential for considerable economic growth.</i>
2. Enhance utilisation of and/or returns for Māori assets	✓	<i>As above.</i>
3. Increase productivity and growth	✓	<i>As above.</i>
4. Increase local employment and wages (in general and for Maori)	✓	<i>Please refer question 15. Potential for considerable employment opportunity.</i>
5. Increase local employment, education and/or training opportunities for youth (in general and for Māori)	✓	<i>As above. Training opportunities will be facilitated through the Kaipara Kai Transformation Hub</i>
6. Improve digital communications, within and/or between regions	✓	<i>Agri-tech will inevitably provide an element of interconnectivity through digital communications</i>
7. Improve resilience and sustainability of transport infrastructure, within and/or between regions	✓	<i>Supporting applications for core roading infrastructure and core water transport infrastructure (wharves, ferries) both provide local industry access to AKL for shifting of crops and tourists (local and international).</i>
8. Contribute to mitigating or adapting to climate change	✓	<i>Horticulture is a proven low environmental impact use of land. Existing PGF application (separate from this application, not KDC) for Iwi in Kaipara for environmental project to stop sediment through planting.</i>
9. Increase the sustainable use of and benefit from natural assets	✓	<i>As above.</i>
10. Enhance wellbeing, within and/or between regions	✓	<i>Growing jobs and educating Iwi and locals in the Kaipara has the potential to materially increase income and social outcomes for the whole Northland region.</i>
Total number of outcomes project contributes to	10/10	Please refer to the project summary document and question 15 for further detail.

19. Has public consultation been conducted?

Yes:

No:

If yes, , what were the results?

If no, , is there a plan to do so?

Public consultation was conducted in 2002 at the start of the original Topo-climate study for the area. This needs to be updated.
Further feasibility studies to cover additional area and crops will be conducted engaging the local experts, existing groups/ growers, community and Iwi leaders and facilitated by the Kaipara Kai Transformation Hub.

20. Has any customer demand analysis been undertaken?

Yes:

No:

- If yes, please provide a description of the analysis and its outcomes:
- If no, please describe why, and how you are sure of the need for the asset:

High-level comparison analysis with values achieved in Pukekohe and through 2003 Topo-climate report – this analysis will be further extended through feasibility study that has funding sought as part of this package.

21. Where the project utilises land, does the land have any other interests associated with it? (i.e. Treaty claims, or Iwi/hapū ownership)

Yes:

No:

Horticulture is intended to be developed on all suitable land in the Kaipara, and likewise with tourism in the longer term. The land is a mix of Iwi owned, privately owned, and crown owned land. A current treaty claim is in the process of being settled for the Kaipara Harbour catchment.

22. Is the land is owned by others, i.e. not solely by the applicant?

If yes, then please describe the other interests and how will this be managed?

Please see above.

23. Does the land have appropriate Resource Management Act consents?

Yes:

No:

If no, how and when will this be addressed?

Kaipara land is used for food production at present and zoning of the land with identified potential is 'rural' therefore no resource consent issues are foreseen for this project.

Part C: Project Delivery

[Please note – this section refers to the actual activity associated with this application.]

24. Please provide an overview of the project management approach / plan for this activity.

- *How the activity will be managed from your organisation?*

The project will be conducted by KDC, with support from third parties to perform the relevant financial and qualitative analysis, and who will provide the feasibility studies and programme of work for KDC to proceed. This will enable KDC to take the next steps to engage stage two of the projects.

- *What involvement is required by the Provincial Development Unit?*

KDC would appreciate assistance from Provincial Development Unit to provide advice and connectivity to adjoining and complementary projects to the Kaipara Kickstart project. If KDC and other stakeholders can be made aware of additional projects in the region, it is possible efficiencies can be gained for the betterment of Kaipara and Northland as a whole.

- *What other partners are required for successful delivery?*

KDC would like to partner with appropriate professional services firms to deliver initial analysis and feasibility studies, combined with a programme of work to enable stage two of the project. Partnership will be sought with local Iwi for the development of horticulture and wharf infrastructure (we note relationships are already productive), further partnerships will be sought with technical service providers (engineering, horticulture, other) to enable the building of horticulture and tourism industry, as well as other supporting infrastructure.

There are a number of other projects which are being delivered across Northland and as a CE group and wider stakeholders we are working closely to support each other and share ideas and work.

- *What project management practices will be in place?*

KDC, with support from appropriate professional services firms, will manage the first stage of the project which involves the analysis of a number of factors essential to core decision making in the second stage of the project.

- *Who are the key personnel within the organisation relating to this project?*

Mayor, KDC

Louise Miller – CEO, KDC

Jason Marris – General Manager, KDC

- *Please include bio's and provide an organisational/project structure where possible.*

<https://www.kaipara.govt.nz/Our+Council/Mayor+and+Councillors.html>

Privacy of natural persons

Privacy of natural persons

Please refer to the activity timeline in the attached project summary document for project structure.

See attached "Kaipara Kickstart" A3 document page 8

- *Please attach a copy of your health and safety policy that will apply for this project.*

<https://www.kaipara.govt.nz/Our+Council/Health+and+Safety.html>

25. Have you had independent verification of the project approach / plan?

Yes:

No:

If yes, who verified the project and when?

We have engaged a range of professional services firms over previous years. These have formed the base for this application and attached additional analysis factored into the costings in this proposal which can be used to refine costs as needed.

26. Please provide us with a project plan, where possible please attach a schedule (i.e. Gantt chart):

[Please use the following table to describe the milestones of the project, if preferred, a schedule can be provided]

#	Project Activity	Responsible:	Date / Period:
1	Kaipara Kai Transformation Hub: Completed analysis of the Hub costs and recruitment requirements, provisional design of service offering, staff role definition. Report provided to KDC.	Process project managed and delivered by existing professional advisor, with oversight from KDC Mayor, Louise Miller (CEO) and Jason Marris (GM)	Commercial Information
2	Kaipara Kai Horticulture: Initial analysis of stakeholder engagement, gathering external feedback on the current state of the Kaipara’s stakeholder network (This will also support the initial design of the Hub).	As above	Commercial Information
3	Kaipara Kai Transformation Hub: Detailed design of service offering structure, recruitment of initial staff, salary costs for first year, and activation plan to kick-start Kaipara Kai work streams.	As above.	Commercial Information
	Kaipara Kai Horticulture: Feasibility study and completed report to: <ul style="list-style-type: none"> — Extend previous Jim Anderton’s funded Topo-climate study to whole of Kaipara District – extending previous application and geographic area; — Explore new crop types, new animals, aqua culture opportunities and options to adapt to climate change; — Conduct commercial and financial analysis (e.g. encourage private sector investment and facilitate clusters of different foods). 	As above.	Commercial Information
5	Kaipara Kai Horticulture: An action plan will be completed to leverage the results of the feasibility study through the Hub. A guide will also be developed to assist locals and other stakeholders through the process of moving to higher-value activities.	As above.	Commercial Information

Please also see attached “Kaipara Kickstart” A3 document page 8.

27. Please provide a complete breakdown of the costs of the project to assist us in understanding where the funds will

be utilised:

[Note that figures in this table must align with other figures provided in Q11. Please use as many lines as it takes to provide us with the appropriate detail. If more suitable, please attach a budget spreadsheet to this application]

Cost Description:	\$ (excluding GST)
Kaipara Kai Transformation Hub: Initial analysis	\$Commercial Info
Kaipara Kai Horticulture: Initial Analysis and stakeholder engagement	\$Commercial Info
Kaipara Kai: Detailed design, recruitment (incl. Salary cost) and implementation.	\$Commercial Inform
Kaipara Kai Horticulture: Feasibility study and report	\$Commercial Inform
Kaipara Kai Horticulture: Detailed activation plan to enable mobilisation of stakeholder groups, based on feasibility study and reported results	\$Commercial Inform
Total	\$980,000

Please also see attached "Kaipara Kickstart" A3 document page 8.

28. What are the proposed deliverables if funding is approved?

[Please use the following table, consider what deliverables there will be, when, and whether there are any payments associated with them and against what criteria payment should be made. If it is a single deliverable with single payment, please just use one line]

#	Description	Payment criteria:	Invoice Value \$ (Exc. GST)	%	Invoice Date:
1	Kaipara Kai Transformation Hub: Completed analysis of Hub costs and report provided to YDC	Fixed price, single deliverable.	\$Commercial Info	Commer %	Commercial Information
2	Kaipara Kai Horticulture: initial analysis of stakeholder engagement (This will also support the initial design of the Kai Hub).	Fixed price, single deliverable.	\$Commercial Info	Commer %	Commercial Information
3	Kaipara Kai Transformation Hub: Detailed design of service offering structure, recruitment of initial staff, salary costs for first year, and activation plan to kick-start Kaipara Kai work streams.	Fixed price, single deliverable.	\$Commercial Inform	Commer %	Commercial Information
4	Kaipara Kai Horticulture: Feasibility study and completed report provided	Fixed price, single deliverable	\$Commercial Inform	Commer %	Commercial Information
5	Kaipara Kai Horticulture: Detailed activation plan completed and provided.	Fixed price, single deliverable.	\$Commercial Inform	Commercial %	Commercial Information

Please also see attached "Kaipara Kickstart" A3 document page 8

29. Please provide a description of why Government funding is required to deliver this project?

Please refer to rationale in project summary document, and project description in question 15.

30. Please provide an overview of the applicant's relevant skills and experience for delivering a projects of this nature:

KDC has experience in delivering various infrastructure projects for the Kaipara. KDC has actively sought to limit any risk with this project by engaging with relevant experts to provide feasibility studies and activation plans in phase one.

These will guide decision making processes into stage two of the project, at which point further consideration will be given to how risk in delivery will be minimised in the same way.

KDC will leverage the experience of its management team, along with the experience of its advisors and partners to ensure that the project is delivered efficiently.

KDC's core project management team include:

Jason Marris - GM

Please refer to above Bio details in question 24.

31. Please explain the Governance arrangements for this project

[We would like to know about how your organisation will govern the project/activity, as well as how other organisations may be involved (i.e. the Provincial Development Unit, local council, or Iwi/hapū) in the governance procedures. Specifically please name who is on the governance board / leadership team]

Louise Miller – CEO
Mayor - KDC

In phase one of the project the KDC leadership team will implement the project, with guidance from external advisor / consultants. Phase two of the project will require consultation with Iwi groups, the PDU, and other stakeholders. KDC will continue to engage professional guidance to ensure the project is delivered efficiently and effectively.

There will be an internal project management structure established to oversee and monitor progress on all the successful PGF applications. The governance board would provide updates to the Council via the quarterly reporting mechanism which currently exists.

In addition to the project management governance there will be wider regional stakeholder engagement that includes, Northland forward together forum made up of Mayors and Chief Executives of Northland as well as Iwi and Northland Inc.

32. What procurement process has been undertaken (i.e. selection of a provider), or will be undertaken, and how will that be managed?

Council will comply with the current procurement policy and will explore any 'all of government' supplier opportunities during this process. Any procurement less than \$100k, the executive team at Council can sign off a recommendation following local market assessment under our procurement policy. Ongoing management of the supplier interactions for the feasibility will be managed by a project manager within Council. The project manager will be identified internally once the scope of the PGF programme is confirmed.

KDC's selected advisors will have the relevant experience and knowledge required to conduct initial analysis, feasibility study, and activation programme in the timeframe required. This will ensure that phase two of the project is appropriately defined to enable investment.

Commercial Information

33. What risks are associated with the delivery of this activity?

#	Risk	Mitigation approach	Rating
1	[e.g. if the market is unable to respond to the need, then the deliverable will not be provided]	-	[High/Medium/Low]
2	[e.g. if the contractor's price is not accurate, then additional funding may be required]	-	[H/M/L]
3	[e.g. if access to stakeholders is not achieved, then full consultation may not occur]	-	[H/M/L]
x		-	

Phase one of the project (collectively, "Kaipara Kick Start") is a relatively low risk, fixed price proposition which includes:

- Initial analysis and stakeholder engagement
- Feasibility studies
- Replace/upgrade core infrastructure
- Establish Kai Transformation Hub

Initial risks will be identified as part of the analysis and stakeholder engagement phase, as well as through feasibility studies proposed.

We consider that the primary risk (while low) is an unexpected increase in the costs of implementing the Kai Transformation Hub, we have ensured that the costings have built this risk factor in. It is possible that the costs of implementation could also be lower than estimated, and more refined costs will be determined in the initial analysis phase" We consider this risk is mitigated to the extent possible at this stage of the process..

Commercial Information

34. Will the applicant own the asset on delivery?

Yes:

No:

If no, please describe who will own the asset.

KDC would own the intellectual property but asset ownership will become clearer as the project progresses.

35. When the project is delivered, what is the plan to operationalise the asset (if an asset), and maintain it through life?

Feasibility studies will define costs of ownership for phase two of the project, when further infrastructure is implemented. As the project progresses asset ownership will be understood and identified.

36. What will the impact be on the applicant's financial accounts?

The funding will be fully utilised to support the projects from inception through to delivery. KDC does not have its own resources to contribute, so will be fully reliant on the PGF funding to complete the projects.

The below information is available on request.

- *Growth forecasts / projections post project completion.*
- *2 years of financial accounts.*
- *Current banking arrangements.*
- *Details of any borrowings (including lender, loan values and loan maturity dates).*
- *Current level of debt and equity and financial Ratios (i.e. Debt to Equity, Debt to Revenue, and Current Ratio).*
- *Insurance provider.*

Part D: Declarations

Commercial Information

- 37. Has this activity ever been declined Crown Funding in the past?
- 38. Is the applicant or the contracting entity insolvent or subject to any insolvency action, administration or other legal proceedings?
- 39. The contracting entity is compliant and will continue to comply with all applicable laws, regulations, rules and professional codes of conduct or practice including but not limited to health and safety and employment practices
- 40. Is any individual involved in the application, the proposed contracting entity or the project, an undischarged bankrupt?
- 41. Is any individual under investigation for, or has any individual been convicted of, any offence that has a bearing on the operation of the project?
- 42. Are there any actual, potential or perceived conflicts of interest that the applicant or any of the key personnel have in relation to this project.
 "In a small country like ours, conflicts of interest in our working lives are natural and unavoidable. The existence of a conflict of interest does not necessarily mean that someone has done something wrong, and it need not cause problems. It just needs to be identified and managed carefully..."
<https://www.oag.govt.nz/2007/conflicts-public-entities>

If you answered "Yes" to any of the above, please provide a description below:

Commercial Information

By completing the details below, the applicant makes the following declaration about its application for Provincial Growth Fund funding for the project ("application"):

- I have read, understand and agree to the Terms and Conditions of applying for Provincial Growth Fund funding which are attached as Appendix 1;
- The statements in the application are true and the information provided is complete and correct, and there have been no misleading statements or omissions of any relevant facts nor any misrepresentations made;
- I have secured all appropriate authorisations to submit the application, to make the statements and to provide the information in the application;
- I consent to this application being publically released if funding is approved. I have identified the commercially sensitive and personal information.
- The applicant warrants that it has no actual, potential or perceived conflict of interest (except any already declared in the application) in submitting the application, or entering into a contract to carry out the project. Where a conflict of interest arises during the application or assessment process, the applicant will report it immediately to the Provincial Development Unit by emailing PGF@mbie.govt.nz; and
- I understand that the falsification of information, supplying misleading information, or the suppression of material information in this application, may result in the application being eliminated from the assessment process and may be grounds for termination of any contract awarded as a result of this application process.

Full name:

Louise Miller

Title / position:

Chief Executive – Kaipara District Council

Signature:

.....

Date:

29th November 2018

Appendix 1 – Terms and Conditions of this Application

General

The terms and conditions are non-negotiable and do not require a response. Each applicant that submits a request for Provincial Growth Fund (“PGF”) funding (each an “application”) has confirmed by their signature on the application that these terms and conditions are accepted without reservation or variation.

The Provincial Growth Fund is a government initiative which is administered by the Provincial Development Unit, a unit within the Ministry of Business, Innovation and Employment. Any reference to the Provincial Development Unit in these terms and conditions, is a reference to MBIE on behalf of the Crown.

Reliance by Provincial Development Unit

The Provincial Development Unit may rely upon all statements made by any applicant in an application and in correspondence or negotiations with the Provincial Development Unit or its representatives. If an application is approved for funding, any such statements may be included in the contract.

Each applicant must ensure all information provided to the Provincial Development Unit is complete and accurate. The Provincial Development Unit is under no obligation to check any application for errors, omissions, or inaccuracies. Each applicant will notify the Provincial Development Unit promptly upon becoming aware of any errors, omissions, or inaccuracies in its application or in any additional information provided by the applicant.

Ownership and intellectual property

Ownership of the intellectual property rights in an application does not pass to the Provincial Development Unit. However, in submitting an application, each applicant grants the Provincial Development Unit a non-exclusive, transferable, perpetual licence to use and disclose its application for the purpose of assessing and decision making related to the PGF application process. Any hard copy application or documentation supplied by you to the Provincial Development Unit may not be returned to you.

By submitting an application, each applicant warrants that the provision of that information to the Provincial Development Unit, and the use of it by the Provincial Development Unit for the evaluation of the application and for any resulting negotiation, will not breach any third-party intellectual property rights.

Confidentiality

The Provincial Development Unit is bound by the Official Information Act 1982 (“OIA”), the Privacy Act 1993, parliamentary and constitutional convention and any other obligations imposed by law. While the Provincial Development Unit intends to treat information in applications as confidential to ensure fairness for applicants during the assessment and decision making process, the information can be requested by third parties and the Provincial Development Unit must provide that information if required by law. If the Provincial Development Unit receives an OIA request that relates to information in this application, where possible, the Provincial Development Unit will consult with you and may ask you to confirm whether the information is considered by you to be confidential or still commercially sensitive, and if so, to explain why.

The Provincial Development Unit may disclose any application and any related documents or information provided by the applicant, to any person who is directly involved in the PGF application and assessment process on its behalf including the Independent Advisory Panel (“IAP”), officers, employees, consultants, contractors and professional advisors of the Provincial Development Unit or of any government agency. The disclosed information will only be used for the purpose of participating in the PGF application and assessment process, which will include carrying out due diligence. If an application is approved for funding, information provided in the application and any related documents may be used for the purpose of contracting.

In the interests of public transparency, if an application is approved for funding, the application (and any related documents) may be published by the Provincial Development Unit. Commercially sensitive and personal information will be redacted by reference to the provisions of the Official Information Act 1982.

Limitation of Advice

Any advice given by the Provincial Development Unit, any other government agency, their officers, employees, advisers, other representatives, or the IAP about the content of your application does not commit the decision maker (it may be Senior Regional Officials, Ministers or Cabinet depending on the level of funding requested and the nature of the project) to make a decision about your application.

This limitation includes individual members of the IAP. The IAP's recommendations and advice are made by the IAP in its formal sessions and any views expressed by individual members of the IAP outside of these do not commit the IAP to make any recommendation.

No contractual obligations created

No contract or other legal obligations arise between the Provincial Development Unit and any applicant out of, or in relation to, the application and assessment process, until a formal written contract (if any) is signed by both the Provincial Development Unit and a successful applicant.

No process contract

The PGF application and assessment process does not legally oblige or otherwise commit the Provincial Development Unit to proceed with that process or to assess any particular applicant's application or enter into any negotiations or contractual arrangements with any applicant. For the avoidance of doubt, this application and assessment process does not give rise to a process contract.

Costs and expenses

The Provincial Development Unit is not responsible for any costs or expenses incurred by you in the preparation of an application.

Exclusion of liability

Neither the Provincial Development Unit or any other government agency, nor their officers, employees, advisers or other representatives, nor the IAP or its members will be liable (in contract or tort, including negligence, or otherwise) for any direct or indirect damage, expense, loss or cost (including legal costs) incurred or suffered by any applicant, its affiliates or other person in connection with this application and assessment process, including without limitation:

- a) the assessment process
- b) the preparation of any application
- c) any investigations of or by any applicant
- d) concluding any contract
- e) the acceptance or rejection of any application, or
- f) any information given or not given to any applicant(s).

By participating in this application and assessment process, each applicant waives any rights that it may have to make any claim against the Provincial Development Unit. To the extent that legal relations between the Provincial Development Unit and any applicant cannot be excluded as a matter of law, the liability of the Provincial Development Unit is limited to \$1.

Nothing contained or implied in or arising out of the PGF documentation or any other communications to any applicant shall be construed as legal, financial, or other advice of any kind.

Inducements

You must not directly or indirectly provide any form of inducement or reward to any IAP member, officer, employee, advisor, or other representative of the Provincial Development Unit or any other government agency in connection with this application and assessment process.

Governing law and jurisdiction

The PGF application and assessment process will be construed according to, and governed by, New Zealand law and you agree to submit to the exclusive jurisdiction of New Zealand courts in any dispute concerning your application.

Public statements

The Provincial Development Unit and any other government agency, or any relevant Minister, may make public in whole or in part this application form including the following information:

- the name of the applicant(s)
- the application title
- a high-level description of the proposed project/activity
- the total amount of funding and the period of time for which funding has been approved
- the region and/or sector to which the project relates

The Provincial Development Unit asks applicants not to release any media statement or other information relating to the submission or approval of any application to any public medium without prior agreement of the Provincial Development Unit.

Appendix 2 - Operational criteria for all tiers of the Fund

Link to Fund and government outcomes

- Demonstrate the ways in which the project will contribute to lifting the productivity potential of the region
- Demonstrate how the project contributes to the Fund's objectives of:
 - more permanent jobs
 - benefits to the community and different groups in the community
 - increased utilisation and returns for Māori from their asset base (where applicable)
 - sustainability of natural assets (e.g. water, soil integrity, the health and ecological functioning of natural habitats)
 - mitigating or adapting to climate change effects, including transitioning to a low emissions economy
- Clear evidence of public benefits (i.e. benefits other than increased profitability for the applicant)
- Are in a Government priority region or sector

Additionality

- Project is not already underway, does not involve maintenance of core infrastructure or assets (except for rail and transport resilience initiatives), and does not cover activities the applicant is already funded for (funding could be considered to increase the scale of existing projects or re-start stalled projects)
- Demonstrated benefit of central Government investment or support
- Detail of any supporting third party funding (and any funding sought unsuccessfully)
- Acts as a catalyst to unlock a region's productivity potential
- Demonstrated links to other tiers of the Fund and related projects, to maximise value of Government investment

Connected to regional stakeholders and frameworks

- Evidence of relevant regional and local support, either through existing regional development mechanisms, or through another relevant body such as a council, iwi or other representative group (or reasons for any lack of local support)
- Has been raised and discussed with the region's economic development governance group
- Alignment with, or support for the outcomes of, any relevant regional development plan, Māori development strategy or similar document (whether regional or national)
- Demonstrated improvement in regional connectedness (within and between regions)
- Leverage credible local and community input, funding, commercial and non-commercial partners
- Utilise existing local, regional or iwi/Māori governance mechanisms

Governance, risk management and project execution

- Evidence of robust project governance, risk identification/management and decision-making systems and an implementation plan appropriate to the size, scale and nature of the project
- Future ownership options for capital projects, including responsibility for maintenance, further development, and other relevant matters
- Benefits and risks clearly identified and quantified, depending on the scale of the initiative
- Evidence of potential exit gates and stop/go points, and a clear exit strategy
- Clearly identifies whole of life costs (capital and operating)
- Dependencies with other related projects are identified
- Evidence of sustainability after conclusion of PGF funding
- Adequacy of asset management capability (for capital projects)
- Compliance with international obligations (where relevant)